

Application Serial No.: 09/982,838  
Attorney Docket No.: 089070-0311376



Customer No.: 00909

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

IN RE PATENT APPLICATION OF: Joseph G. GATTO  
SERIAL NO.: 09/982,838  
ATTORNEY DOCKET NO: 089070-0311376 (23449-020)  
FILING DATE: October 22, 2001  
ART UNIT : 3624  
EXAMINER NARAYANSWAMY SUBRAMANIAN  
FOR: SECURITY ANALYST ESTIMATES PERFORMANCE VIEWING SYSTEM AND METHOD

---

**RESUBMISSION OF INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA. 22313-1450

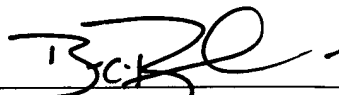
Dear Sir:

An Information Disclosure Statement (I.D.S.) was filed by Applicant on February 13, 2003. To date, however, Applicant has yet to receive a copy of the Form PTO-1449 signed by the Examiner indicating that this I.D.S. was considered. Accordingly, Applicant has provided herewith a copy of the I.D.S. submitted February 13, 2003 together with a stamped PTO Acknowledgement Receipt. It is respectfully requested the Examiner return an initialed and signed copy of the Form PTO-1449 for this submission.

Date: September 5, 2006

Respectfully submitted,

By:

  
Bradford C. Blaise  
Registration No. 47,429

**Customer No. 00909**

PILLSBURY WINTHROP SHAW PITTMAN LLP  
P.O. Box 10500  
McLean, Virginia 22102  
Direct Dial: 703-770-7741  
Main: 703-770-7900  
Fax: 703-770-7901



Attorney Docket No.: 23449-020

Inventor: Joseph G. GATTO

Serial No.: 09/982,838

Filing Date: October 22, 2001

Title: SECURITY ANALYST ESTIMATES PERFORMANCE VIEWING SYSTEM AND METHOD

Documents Filed: 1. Information Disclosure Statement (IDS)  
2. Form PTO-1449 (seven pages)  
3. Eighty-seven (87) references



Sender's Initials: BCB/slt

Date: February 13, 2003



29315

PATENT & TRADEMARK OFFICE

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:

Joseph G. GATTO

Serial No.: 09/982,838

Filed: October 22, 2001

For: SECURITY ANALYST ESTIMATES  
PERFORMANCE VIEWING SYSTEM AND  
METHOD

Docket No.: 23449-020

Confirmation No.: 8479

Group Art Unit: 3624

Examiner: Kelly Scaggs Campen

**INFORMATION DISCLOSURE STATEMENT (IDS)**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Pursuant to the duty of disclosure under 37 C.F.R. §§ 1.56, 1.97 and 1.98, Applicant hereby makes of record in the above-identified application the documents listed on the attached Form PTO-1449.

Applicant has listed publication dates on the attached PTO-1449 based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the date indicated. Where the publication date of a listed document does not provide a month of publication, the year of publication of the listed document is sufficiently earlier than the effective U.S. filing date and any foreign priority date so that the month of publication is not an issue.

Applicant reserves the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

This Information Disclosure Statement is being filed before the mailing date of a first Office Action on the merits. No certification or fee is required. 37 C.F.R. 1.97(b).


An electronic Information Disclosure Statement is being filed electronically on even date.

It is respectfully requested that the Examiner initial and return a copy of the enclosed PTO-1449.

Respectfully submitted,

MINTZ, LEVIN, COHN, FERRIS, GLOVSKY  
and POPEO, P.C.

By

  
Bradford C. Blaise

Registration No.: 47,429

12010 Sunset Hills Road, Suite 900  
Reston, Virginia 20190  
Telephone: (703) 464-4800  
Telefax: (703) 464-4895

Dated: February 13, 2003



<b>INFORMATION DISCLOSURE CITATION IN AN APPLICATION</b>  Form PTO-1449	Docket Number	Application Number
	23449-020	09/982,838
	Applicant(s)	
	Joseph G. GATTO	
	Filing Date	Group Art Unit
	October 22, 2001	3624

**U.S. PATENT DOCUMENTS**

*EXAMINER INITIAL	REF	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

**FOREIGN PATENT DOCUMENTS**

	REF	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translations	
							YES	NO
	1A	2000090150A	03/31/2000	JAPAN				
	1B	WO 01/80124 A2	10/25/2001	International				

**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)**

	1C	BROWN <i>et al.</i> , "Composite Analyst Earnings Forecasts: The Next Generation", <u>Journal of Business Forecasting</u> , Summer 1990, Vol. 9, Issue 2.
	1D	HO <i>et al.</i> , "Market Reactions to Messages from Brokerage Ratings Systems", <u>Financial Analysts Journal</u> , February 1998, Vol. 54, Issue 1.
	1E	LAMONICA, "The Best and Worst: Bloomberg's Second Annual Analysts Survey, and the Top Analysts Top Picks", <u>Financial World</u> , 30 January 1996, Vol. 165, Issue 2.
	1F	<a href="http://interactive.wsj.com/public/current/summaries/best00.htm">http://interactive.wsj.com/public/current/summaries/best00.htm</a> (1/5/01)
	1G	<a href="http://interactive.wsj.com/public/current/articles/SB963945297966625438.htm">http://interactive.wsj.com/public/current/articles/SB963945297966625438.htm</a> (1/5/01)
	1H	<a href="http://interactive.wsj.com/public/current/articles/SB963945742428637569.htm">http://interactive.wsj.com/public/current/articles/SB963945742428637569.htm</a> (1/5/01)
	1I	<a href="http://interactive.wsj.com/public/current/articles/SB963945478117361937.htm">http://interactive.wsj.com/public/current/articles/SB963945478117361937.htm</a> (1/5/01)
	1J	<a href="http://interactive.wsj.com/public/current/articles/SB963944657420928118.htm">http://interactive.wsj.com/public/current/articles/SB963944657420928118.htm</a> (1/5/01)
	1K	<a href="http://interactive.wsj.com/public/current/articles/SB963945615772798263.htm">http://interactive.wsj.com/public/current/articles/SB963945615772798263.htm</a> (1/5/01)
	1L	HERZBERG <i>et al.</i> , "Enhancing Earnings Predictability Using Individual Analyst Forecasts", <u>The Journal of Investing</u> , Summer 1999.
	1M	Charles Schwab: Schwab Introduces Analytics Funds; Utilizes Quantitative Techniques to Seek Above-Market Returns.
	1N	MOZES <i>et al.</i> , "Modeling Earnings Expectations Based on Clusters of Analyst Forecasts", <u>The Journal of Investing</u> , Spring 1999.
	1O	<a href="https://www.investars.com/home.asp">https://www.investars.com/home.asp</a> , printed 3/26/01, 5 pages.
	1P	"I/B/E/S Active Express", I/B/E/S International Inc., 1999, 2 pages.
	1Q	Lawrence D. BROWN <i>et al.</i> , "The Superiority of Analyst Forecasts as Measures of Expectations: Evidence from Earnings", <u>The Journal of Finance</u> , Vol. XXXIII, No. 1, March 1978, pages 1-16.
	1R	Lawrence D. BROWN <i>et al.</i> , "The Predictive Value of Interim Reports for Improving Forecasts of Future Quarterly Earnings", <u>The Accounting Review</u> , Vol. LIV, No. 3, July 1979, pages 585-591.
	1S	Lawrence D. BROWN, "Analyst Forecasting Errors and Their Implications for Security Analysis: An Alternative Perspective", <u>Financial Analysts Journal</u> , January-February 1996, pages 40-47.
	1T	Lawrence D. BROWN <i>et al.</i> , "Analysts can Forecast Accurately!", <u>The Journal of Portfolio Management</u> , Spring 1980, pages 31-34.
	1U	L. D. BROWN <i>et al.</i> , "Perspectives on Forecasting Research in Accounting and Finance", <u>Journal of Forecasting</u> , Vol. 2, 1983, pages 325-330.

EXAMINER	DATE CONSIDERED
EXAMINER. Initial if citation considered, whether or not citation is in conformance with MPEF Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant	

<b>INFORMATION DISCLOSURE CITATION IN AN APPLICATION</b>  Form PTO-1449	Docket Number	Application Number
	23449-020	09/982,838
	Applicant(s)	
	Joseph G. GATTO	
	Filing Date	Group Art Unit
	October 22, 2001	3624

### U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	REF	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

### FOREIGN PATENT DOCUMENTS

	REF	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translations	
							YES	NO

### OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

	2A	Robert E. HOSKIN <i>et al.</i> , "Evidence on the Incremental Information Content of Additional Firm Disclosures Made Concurrently with Earnings," <u>Journal of Accounting Research</u> , Vol. 24 Supplement 1986, pages 1-32.
	2B	Lawrence D. BROWN, "Earnings Surprise Research: Synthesis and Perspectives", <u>Financial Analysts Journal</u> , March/April 1997, pages 13-19.
	2C	Charles M. C. LEE <i>et al.</i> , "What is the Intrinsic Value of the Dow?", <u>The Journal of Finance</u> , Vol. LIV, No. 5, October 1999, pages 1693-1741.
	2D	Charles M. C. LEE, "Market Integration and Price Execution for NYSE-Listed Securities", <u>The Journal of Finance</u> , Vol. XLVIII, No. 3, July 1993, pages 1009-1038.
	2E	Charles M. C. LEE <i>et al.</i> , "Volume, Volatility, and New York Stock Exchange Trading Halts", <u>The Journal of Finance</u> , Vol. XLIX, No. 1, March 1994, pages 183-214.
	2F	Navin CHOPRA <i>et al.</i> , "Summing Up", <u>The Journal of Finance</u> , Vol. XLVIII, No. 2, June 1993, pages 811-812.
	2G	Navin CHOPRA <i>et al.</i> , "Yes, Discounts on Closed-End Funds are a Sentiment Index", <u>The Journal of Finance</u> , Vol. XLVIII, No. 2, June 1993, pages 801-808.
	2H	Charles M. C. LEE <i>et al.</i> , "Spreads, Depths, and the Impact of Earnings Information: An Intraday Analysis", <u>The Review of Financial Studies</u> , Vol. 6, No. 2, 1993, pages 345-374.
	2I	Sati P. BANDYOPADHYAY <i>et al.</i> , "Analysts' Use of Earnings Forecasts in Predicting Stock Returns: Forecast Horizon Effects", <u>International Journal of Forecasting</u> , Vol. 11, No. 3, 1995, pages 429-445.
	2J	Lawrence D. BROWN, "Influential Accounting Articles, Individuals, Ph.D. Granting Institutions and Faculties: A Citational Analysis", <u>Accounting, Organizations and Society</u> , Vol. 21, No. 7/8, October/November 1996, pages 723-754.
	2K	Lawrence D. BROWN <i>et al.</i> , "Security Analyst Superiority Relative to Univariate Time-Series Models in Forecasting Quarterly Earnings", <u>Journal of Accounting and Economics</u> , Vol. 9, 1987, pages 61-87.
	2L	Lawrence D. BROWN <i>et al.</i> , "An Evaluation of Alternative Proxies for the Market's Assessment of Unexpected Earnings", <u>Journal of Accounting and Economics</u> , Vol. 9, 1987, pages 159-193.
	2M	Lawrence D. BROWN <i>et al.</i> , "The Impact of Annual Earnings Announcements on Convergence of Beliefs", <u>The Accounting Review</u> , Vol. 67, No. 4, October 1992, pages 862-875.

EXAMINER	DATE CONSIDERED
EXAMINER Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.	

<b>INFORMATION DISCLOSURE CITATION IN AN APPLICATION</b>  Form PTO-1449	Docket Number	Application Number
	23449-020	09/982,838
	Applicant(s)	
	Joseph G. GATTO	
	Filing Date	Group Art Unit
	October 22, 2001	3624

### U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	REF	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

### FOREIGN PATENT DOCUMENTS

REF	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translations	
						YES	NO

### OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

3A	Lawrence D. BROWN, "Analyst Forecasting Errors: Additional Evidence", <u>Financial Analysts Journal</u> , November/December 1997, pages 81-88.
3B	Praveen SINHA <i>et al.</i> , "A Re-Examination of Financial Analysts Differential Earnings Forecast Accuracy", <u>Contemporary Accounting Research</u> , The Journal of Canadian Academic Accounting Association, Vol. 14, No. 1, Spring 1997, pages 1-42.
3C	Leonard C. SOFFER <i>et al.</i> , "Post-Earnings Announcement Drift and the Dissemination of Predictable Information", <u>Contemporary Accounting Research</u> , The Journal of Canadian Academic Accounting Association, Vol. 16, No. 2, Summer 1999, pages 305-331.
3D	Jacob K. THOMAS, "Discussion of 'Post-Earnings Announcement Drift and the Dissemination of Predictable Information', <u>Contemporary Accounting Research</u> , The Journal of Canadian Academic Accounting Association, Vol. 16, No. 2, Summer 1999, pages 333-340.
3E	Lawrence D. BROWN, "Comment on 'Post-Earnings Announcement Drift and the Dissemination of Predictable Information'", <u>Contemporary Accounting Research</u> , The Journal of Canadian Academic Accounting Association, Vol. 16, No. 2, Summer 1999, pages 341-345.
3F	Lawrence D. BROWN <i>et al.</i> , "Univariate Time-Series Models of Quarterly Accounting Earnings per Share: A Proposed Model", <u>Journal of Accounting Research</u> , Vol. 17, No. 1, Spring 1979, pages 179-189.
3G	Lawrence D. BROWN, "Earnings Forecasting Research: Its Implications for Capital Markets Research", <u>International Journal of Forecasting</u> , Vol. 9, 1993, pages 295-320.
3H	J. O'HANLON, "Commentary on: Lawrence D. Brown 'Earnings Forecasting Research: Its Implications for Capital Markets Research'", <u>International Journal of Forecasting</u> , Vol. 9, 1993, pages 321-323.
3I	Jacob K. THOMAS, "Comments on 'Earnings Forecasting Research: Its Implications for Capital Markets Research'", <u>International Journal of Forecasting</u> , Vol. 9, 1993, pages 325-330.
3J	Philip BROWN, "Comments on 'Earnings Forecasting Research: Its Implications for Capital Markets Research'", <u>International Journal of Forecasting</u> , Vol. 9, 1993, pages 331-335.
3K	Mark E. ZMIJEWSKI, "Comments on 'Earnings Forecasting Research: Its Implications for Capital Markets Research' by L. Brown", <u>International Journal of Forecasting</u> , Vol. 9, 1993, pages 337-342.

EXAMINER	DATE CONSIDERED
EXAMINER Initial if citation considered, whether or not citation is in conformance with MPEP Section 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.	

<b>INFORMATION DISCLOSURE CITATION IN AN APPLICATION</b>  Form PTO-1449	Docket Number	Application Number
	23449-020	09/982,838
	Applicant(s)	
	Joseph G. GATTO	
	Filing Date	Group Art Unit
	October 22, 2001	3624

### U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	REF	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

### FOREIGN PATENT DOCUMENTS

REF	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translations	
						YES	NO

### OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

4A	Lawrence D. BROWN, "Reply to Commentaries on "Earnings Forecasting Research: Its Implications for Capital Markets Research", <u>International Journal of Forecasting</u> , Vol. 9, 1993, pages 343-344.
4B	Lawrence D. BROWN, "A Test of the Reliability of Current Cost Disclosures", <u>ABACUS - A Journal of Accounting, Finance and Business Studies</u> , Vol. 30, No. 1, March 1994, pages 2-17.
4C	Lawrence D. BROWN, "The Impact of Announcement Timing on the Informativeness of Earnings and Dividends", <u>Journal of Accounting, Auditing &amp; Finance</u> , Vol. 9, No. 4, Fall 1994, pages 653-674.
4D	Lawrence D. BROWN <i>et al.</i> , "The Familiarity with and Perceived Quality of Accounting Journals: Views of Senior Accounting Faculty in Leading U.S. MBA Programs", <u>Contemporary Accounting Research</u> , The Journal of Canadian Academic Accounting Association, Vol. 11, No. 1-I, Summer 1994, pages 223-250.
4E	Adrian P. FITZSIMONS, <i>et al.</i> , "Harmonizing GAAP Differences Among the NAFTA Countries", <u>The CPA Journal</u> , May 1995, pages 43-44.
4F	Lawrence D. BROWN, "Book Review of M. Metcalf's 1995 <i>Forecasting Profit</i> ", <u>International Journal of Forecasting</u> , Vol. 12, No. 1, 1996, pages 176-177.
4G	Lawrence D. BROWN <i>et al.</i> , "An Information Interpretation of Financial Analyst Superiority in Forecasting Earnings", <u>Journal of Accounting Review</u> , Vol. 25, No. 1, Spring 1997, pages 49-67.
4H	Lawrence D. BROWN, "Forecast Selection When All Forecasts are not Equally Recent", <u>International Journal of Forecasting</u> , Vol. 7, No. 3, 1991, pages 349-356.
4I	Lawrence D. BROWN <i>et al.</i> , "Capsules and Comments", <u>Journal of Accounting Research</u> , Vol. 29, No. 2, Autumn 1991, pages 382-385.
4J	Lawrence D. BROWN <i>et al.</i> , "Applying Citation Analysis to Evaluate the Research Contributions of Accounting Faculty and Doctoral Programs", <u>The Accounting Review</u> , Vol. LX, No. 2, April 1985, pages 262-277.
4K	Lawrence D. BROWN, "Can ESP Yield Abnormal Returns?", <u>The Journal of Portfolio Management</u> , Vol. 23, No. 4, Summer 1997, pages 36-43.
4L	Lawrence D. BROWN <i>et al.</i> , "Do Stock Prices Fully Reflect the Implications of Current Earnings for Future Earnings for ARI Firms?", <u>Journal of Accounting Research</u> , Vol. 38, No. 1, Spring 2000, pages 149-164.

EXAMINER	DATE CONSIDERED
EXAMINER Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.	



<b>INFORMATION DISCLOSURE CITATION IN AN APPLICATION</b>  Form PTO-1449	Docket Number	Application Number
	23449-020	09/982,838
	Applicant(s)	
	Joseph G. GATTO	
	Filing Date	Group Art Unit
	October 22, 2001	3624

### U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	REF	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

### FOREIGN PATENT DOCUMENTS

	REF	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translations	
							YES	NO

### OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

	5A	Lawrence D. BROWN <i>et al.</i> , "The Association Between Nonearnings Disclosures by Small Firms and Positive Abnormal Returns", <u>The Accounting Review</u> , Vol. 68, No. 3, July 1993, pages 668-680.
	5B	Lawrence D. BROWN <i>et al.</i> , "Adaptive Expectations, Time-Series Models, and Analysis Forecast Revision", <u>Journal of Accounting Research</u> , Vol. 17, No. 2, Autumn 1979, pages 341-351.
	5C	Lawrence D. BROWN <i>et al.</i> , "Does the FASB Listen to Corporations?", <u>Journal of Business Finance &amp; Accounting</u> , Vol. 19, No. 5, September 1992, pages 715-731.
	5D	Lawrence D. BROWN <i>et al.</i> , "Using Citation Analysis to Assess the Impact of Journals and Articles on Contemporary Accounting Research (CAR)", <u>Journal of Accounting Research</u> , Vol. 23, No. 1, Spring 1985, pages 84-109.
	5E	Kaushik I. AMIN <i>et al.</i> , "Option Trading, Price Discovery, and Earnings News Dissemination", <u>Contemporary Accounting Research</u> , The Journal of Canadian Academic Accounting Association, Vol. 14, No. 2, Summer 1997, pages 153-192.
	5F	Charles M. C. LEE <i>et al.</i> , "Investor Sentiment and the Closed-End Fund Puzzle", <u>The Journal of Finance</u> , Vol. XLVI, No. 1, March 1991, pages 75-109.
	5G	Carolyn M. CALLAHAN <i>et al.</i> , "Accounting Information and Bid-Ask Spreads", <u>Accounting Horizons</u> , Vol. 11, No. 4, December 1997, pages 50-60.
	5H	Charles M. C. LEE, "Accounting-Based Valuation: Impact on Business Practices and Research", <u>Accounting Horizons</u> , Vol. 13, No. 4, December 1999, pages 413-425.
	5I	Richard FRANKEL <i>et al.</i> , "Accounting Valuation, Market Expectation, and Cross-Sectional Stock Returns", <u>Journal of Accounting and Economics</u> , Vol. 25, No. 3, June 1998, pages 283-319.
	5J	Ronald KING <i>et al.</i> , "Corporate Disclosure and Price Discovery Associated with NYSE Temporary Trading Halts", <u>Contemporary Accounting Research</u> , The Journal of Canadian Academic Accounting Association, Vol. 8, No. 2, Spring 1992, pages 509-531.
	5K	Charles M. C. LEE, "Discussion of "Corporate Disclosure and Price Discovery Associated with NYSE Temporary Trading Halts", <u>Contemporary Accounting Research</u> , The Journal of Canadian Academic Accounting Association, Vol. 8, No. 2, Spring 1992, pages 532-539.
	5L	Charles M. C. LEE, "Measuring Wealth", <u>CA Magazine</u> , April 1996, pages 32-37.
	5M	Charles M. C. LEE <i>et al.</i> , "Inferring Trade Direction from Intraday Data", <u>The Journal of Finance</u> , Vol. XLVI, No. 2, June 1991, pages 733-746.

EXAMINER	DATE CONSIDERED
EXAMINER Initial if citation considered, whether or not citation is in conformance with MPEP Section 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.	

<b>INFORMATION DISCLOSURE CITATION IN AN APPLICATION</b>  Form PTO-1449	Docket Number	Application Number
	23449-020	09/982,838
	Applicant(s)	
	Joseph G. GATTO	
	Filing Date	Group Art Unit
	October 22, 2001	3624

### U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	REF	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

### FOREIGN PATENT DOCUMENTS

REF	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translations	
						YES	NO

### OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

6A	Charles M. C. LEE <i>et al.</i> , "Price Momentum and Trading Volume", <u>The Journal of Finance</u> , Vol. LV, No. 5, October 2000, pages 2017-2069.
6B	Charles M. C. LEE <i>et al.</i> , "Valuing the Dow: A Bottom-Up Approach", <u>Financial Analysts Journal</u> , Vol. 55, No. 5, September/October 1999, pages 4-23.
6C	Charles M. C. LEE, "Earnings News and Small Traders", <u>Journal of Accounting and Economics</u> , Vol. 15, No. 2/3, June/September 1992, pages 265-302.
6D	Terry D. WARFIELD <i>et al.</i> , "Response to the FASB Exposure Draft, "Proposed Statement of Financial Accounting Standards—Accounting for Transfers and Servicing of Financial Assets and Extinguishment of Liabilities", <u>Accounting Horizons</u> , Vol. 10, No. 3, September 1996, pages 178-181.
6E	Terry D. WARFIELD <i>et al.</i> , "Response to the FASB Exposure Draft, "Proposed Statement of Financial Accounting Standards—Accounting for Certain Liabilities Related to Closure or Removal of Long-Lived Assets", <u>Accounting Horizons</u> , Vol. 10, No. 4, December 1996, pages 137-141.
6F	Terry D. WARFIELD <i>et al.</i> , "Response to the FASB Exposure Draft, "Proposed Statement of Financial Accounting Standards—Consolidated Financial Statements: Policy and Procedures", <u>Accounting Horizons</u> , Vol. 10, No. 3, September 1996, pages 182-185.
6G	Lawrence D. BROWN <i>et al.</i> , "Profiting from Predicting Earnings Surprise", <u>The Journal of Financial Statement Analysis</u> , Winter 1998, pages 57-66.
6H	Martin M. HERZBERG <i>et al.</i> , "Enhancing Earnings Predictability Using Individual Analyst Forecasts", <u>The Journal of Investing</u> , Summer 1999, pages 15-24.
6I	Susan D. KRISCHE <i>et al.</i> , "The Information Content of Analyst Stock Recommendations", First Draft: August 8, 2000, Current Draft: September 25, 2000, 40 pages.
6J	<a href="http://www.findarticles.com/m4PRN/1999_Oct_14/56284107/pl/article.html">www.findarticles.com/m4PRN/1999_Oct_14/56284107/pl/article.html</a> , printed February 5, 2001, 2 pages.
6K	<a href="http://my.zacks.com/?ALERT=www.zacks.com">http://my.zacks.com/?ALERT=www.zacks.com</a> , printed February 2, 2001, 6 pages.
6L	<a href="http://www.cianet.com/">http://www.cianet.com/</a> , printed February 5, 2001, 14 pages.
6M	<a href="http://www.factset.com/">http://www.factset.com/</a> , printed February 5, 2001, 10 pages.
6N	<a href="http://www.iexchange.com/">http://www.iexchange.com/</a> , printed February 5, 2001, 50 pages.
6O	<a href="http://www.validea.com/home/home.asp">http://www.validea.com/home/home.asp</a> , printed February 5, 2001, 26 pages.
6P	<a href="http://www.bulldogresearch.com/default.asp">http://www.bulldogresearch.com/default.asp</a> , printed February 5, 2001, 26 pages.

EXAMINER	DATE CONSIDERED
EXAMINER Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.	

[illegible]

EXAMINEE	DATE: CONSIDERED
EXAMINER Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.	